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Date: 8/3/2004

Julie A. Eslick
Signature of Person Mailing Correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

Applicant(s):	David S. Bonalle	Docket No.:	70655.1700
Serial No.:	10/710,311	Group Art Unit:	TBA
Filed:	July 1, 2004	Examiner:	TBA
Title:	METHOD AND SYSTEM FOR FACIAL RECOGNITION BIOMETRICS ON A SMARTCARD	Confirmation No.:	4310

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner For Patents
PO Box 1450
Alexandria, VA 22313-1450

Commissioner:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and pursuant to 37 C.F.R., §§1.97 and 1.98, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents listed on the attached Form PTO/SB/08A. One copy of each cited document is submitted herewith. Applicant respectfully submits that all pending claims are patentable over the foregoing references, alone or in combination. The Examiner is requested to initial the enclosed Form PTO/SB/08A and return a copy thereof to the undersigned.

The items listed on Form PTO/SB/08A may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants reserve the right to dispute any of the listed documents as prior art during examination. Further, Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. Furthermore, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO/SB/08A that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
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2. ☐ Any copy of the items listed on the enclosed copy of Form PTO/SB/08A that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Parent Application, ☐ Continuation, ☐ Divisional or ☐ Continuation-In-Part application under 37 C.F.R. §1.97, U.S. Serial No. _____, filed _____.

3. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

☒ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.

☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application.

☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits.

4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 3 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below.

5. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period

specified in paragraph 3 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
 - ☐ Charge the fee to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
6. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below; and
 - b. the attached petition requesting consideration of this Information Disclosure Statement; and
 - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 9 below.
7. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
 - b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
 - c. The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 9 below.
8. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making

reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

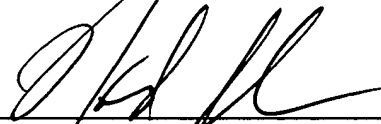
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☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

Snell & Wilmer



Howard I. Sobelman
Registration No. 39,038

Dated: 6/3/04

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/710,311
Filing Date	July 1, 2004
First Named Inventor	David S. Bonalle
Art Unit	TBA
Examiner Name	TBA
Attorney Docket Number	70655.1700

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"Biometrics: Speaker Verification", by Kulkarni, et al., http://biometrics.cse.msu.edu/speaker.html , 03/08/2004, 5 pages	
		"Judge Dismisses FTC Suit Against Rambus", Evers, IDG New Service, http://www.infoworld.com/article/04/02/18/HNjudgedismisses_1.html , 02/18/2004, 3 pages	
		"Credit on Your Key Ring, Buy Gas at Mobil, Exxon and Soon Burgers at McDonald's", by Krakow, MSNBC, http://www.msnbc.msn.com/id/3072638 , 02/17/2004, 4 pages	
		"The Evolution of Mobile Payment", by McPherson, Financial Insights, 02/02/04, http://www.banktech.com/story/mews/showArticle/jhtml?articleID=17601432 , 2 pages	
		"RFID Take Priority With Wal-Mart", by DocMemory, http://www.simmtester.com/page/news/shownews.asp?num=6550 , 02/09/2004, 2 pages	
		"Microsoft, IBM and Phillips Test RFID Technology", by Rohde, IDG New Service, http://www.computerweekly.com/Article127889.htm , 02/09/2004, 3 pages	
		"Pay By Touch Press Releases", http://www.paybytouch.com/press.html , 02/10/2004, 3 pages	
		"PowerPay RFID Payment and Marketing Solution Speeds Purchases at Seahawks Stadium with Technology from Texas Instruments", http://www.powerpayit.com/news/Seahawks_pr.html , 02/09/2004, 2 pages	
		"Putting Their Finger on It", by Wilson, http://sanfrancisco.bizjournals.com/sanfrancisco/stories/2003/10/20/story6.html?t=printable , 02/09/2004, 2 pages	
		"TI Embraces Prox Card Standard", by Roberti, 03/06/2003, http://www.ti.com/tiris/docs/in-the-news/2003/3-6-03.shtml , 2 pages	
		"Paying It By Ear", The Guardian, 01/18/2003, http://money.guardian.co.uk/creditanddebt/creditcards/story/0,1456,876908,00.html , 3 pages	

Examiner
Signature

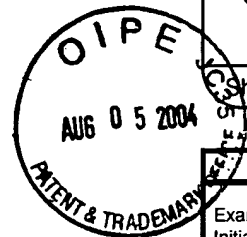
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO		Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/710,311	
		Filing Date	July 1, 2004	
		First Named Inventor	David S. Bonalle	
		Art Unit	TBA	
		Examiner Name	TBA	
Sheet		of	Attorney Docket Number	70655.1700

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Pay By Touch - Company, http://www.paybytouch.com/company.html	
		"Identix Inc. - Empowering Identification™ - Understanding Biometrics", http://www.identix.com/newsroom/news_biometrics_face.html , 1 page	
		"International Biometric Group - Signature Biometrics: How It Works", http://www.ibgweb.com/reports/public/reports/signature-scan_tech.html , 02/18/2004, 1 page	
		"International Biometric Group - Voice Recognition Technology: How It Works", http://www.ibgweb.com/reports/public/reports/voice-scan_tech.html , 02/18/2004, 1 page	
		"The Henry Classification System", International Biometric Group, 7 pages	
		"Individual Biometrics - Hand Geometry", http://ctl.ncsc.dni.us/biomet%20web/BMHand.html , 02/18/04, 2 pages	
		"Individual Biometrics - Retinal Scan", http://ctl.ncsc.dni.us/biomet%20web/BMRetinal.html , 2/18/04, 2 pages	
		"Individual Biometrics - Iris Scan", http://ctl.ncsc.dni.us/biomet%20web/BMIris.html , 2/18/04, 2 pages	
		"Individual Biometrics - Vascular Patterns", http://ctl.ncsc.dni.us/biomet%20web/BMVascular.html , 02/18/04, 1 page	
		"Individual Biometrics - Fingerprint", http://ctl.ncsc.dni.us/biomet%20web/BMFingerprint.html , 2/18/04, 3 pages	
		"Fingerprint Technology - Identix Inc. - Empowering Identification™ - Understanding Biometrics", http://www.identix.com/newsroom/news_biometrics_finger.html , 2/18/04, 1 page	

Examiner Signature		Date Considered	
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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		Filing Date	July 1, 2004	
		First Named Inventor	David S. Bonalle	
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Sheet		of	Attorney Docket Number	70655.1700

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"Individual Biometrics - Facial Recognition", http://cti.ncsc.dni.us/biomet%20web/BMfacial.html , 2/18/04, 2 pages	
		"Fingerprint Analysis - The Basics", http://www.crimtrac.gov.au/fingerprintanalysis.htm , 2/18/04, 3 pages	
		"Visual Speech and Speaker Recognition", by Luetttin, 06/30/2000, http://herens.idiap.ch/~luetttin/luetttin-thesis.bib.abs.html , 1 page	
		"Automatic Ear Recognition by Force Field Transformations", by Hurley, et al., The Institution of Electrical Engineers, 2000, pp. 7/1-7/5	
		"Everything You Need to Know About Biometrics", by Bowman, Identix Croproation, January 2000, 8 pages	
		"How Fingerprint Scanners Work", by Harris, http://computer.howstuffworks.com/fingerprint-scanner.htm/printable , 02/18/04, 6 pages	
		"How Facial Recognition Systems Work", by Bonsor, http://computer.howstuffworks.com/facial-recognition.htm/printable , 2/18/04, 6 pages	
		"Biometrics: Hand Geometry", by Ross, et al., http://biometrics.cse.msu.edu/hand_geometry.html , 2/26/04, 2 pages	
		"Biometric Person Authentication: Odor", by Korotkaya, Department of Information Technology, Laboratory of Applied Mathematics, Lappeenranta University of Technology, 18 pages	
		"ISO Magnetic Stripe Card Standards", http://www.cyberd.co.uk/support/technotes/ioscards.htm , 2/9/04, 4 pages	
		"Smart Card Developer's Kit: Some Basic Standards for Smart Cards", http://unix.be.eu.org/docs/smart-card-developer-kit/ch03/033-035.html , 2/9/04, 2 pages	

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